

## APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone- (404) 656-4976 GIST: 221-4983

DHR	1. GEORGIA DEPARTMENT OF HUMAN RESOURCES	ARCHIVES AND HISTORY	
Application Date June 25, 1980	Office of Regulatory Services Title XX Quality Control--Room 202 618 Ponce de Leon Ave., N.E. Atlanta, Georgia 30306	Application Number <b>80-296</b>	Date Received JUN 25 1980
Application Number 80-16		Date Completed JUL 2 1980	
Person to Contact Ms. Maureen Wheelin	Working Title Chief, Quality Control Unit	Telephone Number 894-4163	
Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
Dates of Series Earliest uly, 1977 Latest to present		5. Records Series Title (followed by title used in office; if different) Title XX Quality Control Files	
Division and Office Function		What is the function of the Division and the Office in which this record series is created?  The Office of Regulatory Services has the responsibility to provide for the supervision and management of the Department's regulatory and quality control function including medical care facilities, laboratory facilities, and child-caring and child-placing agencies and facilities; to insure objectivity in these activities; to facilitate communication and coordination; to enhance the Department's ability to develop policy on regulatory activities and move to a standardized approach for enforcement; to facilitate the development of interpretive guidelines and a consistent approach to interpretation of regulations; and to provide a mechanism to assist in the development of plans for future regulatory/ quality assurance functions where needed.  The Title XX Quality Control Section has the responsibility for: reviewing all Title XX Programs operated by the Department for compliance issues; for assuring that each program takes corrective action as indicated on the review report, and that programs are operated in compliance with Title XX laws and regulations; for preparing and submitting State and Federal reports as required for stating compliance with all laws and regulations; and for working closely with the Commissioner's Office to assure that uniform policies and procedures are applied State-wide.	
6. Records Series Description This file contains the following documents (include form numbers and titles, if ~ ~ Attach samples of the file. Documents relating to: reviewing and evaluating Title XX Programs State-wide for assuring that each program is operated according to all applicable laws and regulations. Included are: three forms used for determining the quality of services to clients by agencies receiving Title XX funds: form 5556 (Title XX Quality Control Review Findings in the Division of Family and Children Services); form 5557 (Compilation of Title XX Quality Control Review Findings in the Division of Mental Health and Mental Retardation); and form 5558 (Title XX Quality Control Review Findings in the Division of Physical Health). Each form is a memorandum/report to document as applicable: Agency/County/Program name and code number; date/time of arrival and departure; total caseload (number and date); number sampled and %; number reviewed and % summary information as to number of cases requiring Family Application form 5532, Service Card Certification 5533, and number of Protective Services Cases; quarter reviewed for service delivery reporting; date report prepared; Summary Statistics to show estimated overall error percentage, and number and percentage of reviewed cases found where services were provided without corresponding documentation of eligibility. (cont.) This file is arranged : by DHR Division; thereunder, alphabetically by county; thereunder, alphabetically by name of facility			
7. Monthly Reference Rate How often are records referred to which are: One to six months old <u>1 - 2</u> ; Seven to twelve months old <u>1 - 2</u> ; Thirteen to twenty-four months old _____ , twenty-five months and older _____ ?			
8. Annual Rate of Accumulation or Records Letter-size drawers <u>3</u> ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. client names are shown on various papers
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |                 |                                   |              |
|--------------------------|-----------------|-----------------------------------|--------------|
| a. State Law             | _____ years.    | d. Audit period                   | _____ year.  |
| b. Statute of limitation | _____ years.    | e. Administrative need            | _____ years. |
| c. Federal law           | <u>3</u> years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) 1 year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 2 year(s); then
- ☒ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Maureen C. Thelie</i>	6-24-80	<i>Elizabeth W. Crank</i> Elizabeth W. Crank, CRM State Records Committee (Signature)	6/24/80
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>Carol Hart</i>	7-1-80
	Secretary of State/Designee	<i>Carol Hart</i>	6/30/80
	Attorney General/Designee	<i>Maureen C. Thelie</i>	7-2-80

## Application for Records Retention Schedule

### Title XX Quality Control Files

Continuation - Page 3

7. Also included are: **forms 5553** (Rev. 4-80) Title XX Quality Control Review Schedule (D.F.C.S. - Division of Family and Children Services); **5554** (Rev. 4-80) Title XX Quality Control Review Schedule (MMHR - Division of Mental Health and Mental Retardation); and **5555** (4-80) Title XX Quality Control Review Schedule (Family Planning - Physical Health) -- each **form** is a summary of findings of a particular Title XX Quality Control Review in a particular DHR Division.